

12/03/01  
10893 U.S. PTO

Please type a plus sign (+) inside this box → [ + ]

PTO/SB/05 (12/97)

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney Docket No.

WH1-NP

Total Pages

First Named Inventor or Application Identifier

HOFFMAN

Express Mail Label No.

EL695228636US

10893 U.S. PTO  
09/997716  
11/26/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

TO

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages [ ]]
3. ☒ Drawing(s) (35 USC 113) [Total Sheets [ ]]
4. ☒ Oath or Declaration [Total Sheets [ 2 ]]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed) [Note Box 5 below]
    - i. ☐ DELETION OF INVENTOR(S) Signed statement attached deleting Inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73 (b) Statement (when there is an assignee) [ ] Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Small Entity Statement(s) [ ] Statement filed in prior application. Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: a) Make the references on the parent application(s) of record herein (see MPEP 2001.06(b)).  
b)

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

[ ] Continuation [ ] Divisional [ ] Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

**18. CORRESPONDENCE ADDRESS**



00545

PATENT TRADEMARK OFFICE

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Vienna, Virginia 22182

November 23, 2001

## BOX PATENT APPLICATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

### NO FEES ARE AUTHORIZED TO BE PAID AT THIS TIME

Re: Woodward C. HOFFMAN and Sean TOGHER  
New U.S. Patent Application  
Application No. Unknown Filed: Herewith  
Claiming priority of USAN 60/253,057 Filed: November 24, 2000  
"ACCOUNTING SYSTEM FOR THE DYNAMIC STATE OF THE  
PORTFOLIO REPORTING" Attorney Docket No. WH1-NP

SIR:

We enclose herewith:

- [X] Utility Patent Application Transmittal Letter;
- [X] New U.S. Patent Application including Specification (47 pp);  
Claims (5 pp) and Abstract (1 pp);
- [X] Declaration (unexecuted);
- [X] Twelve (12) Sheets of Drawings;
- [X] Affidavit concerning mailing;
- [X] Acknowledgment Postcard.

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
first class mail in an envelope addressed to: Com-  
missioner of Patents and Trademarks, Washington,  
D.C. 20231, on Nov 26 2001

Anthony H. Handal  
Reg. No. 26,275

~~SMALL ENTITY: Applicant is entitled to small entity status.~~

The Commissioner is hereby authorized to charge payment of the fees associated  
with this communication or credit any overpayment to Deposit Account No. 08-0570.

Applicant hereby petitions under 37 CFR 1.136 or other applicable rule to have the  
response period extended the number of months necessary to render the attached  
communication timely if a petition is required.

Anthony H. Handal  
Reg. No. 26,275  
D.C. 20231, on  
Commissioner of Patents and Trademarks, Washington,  
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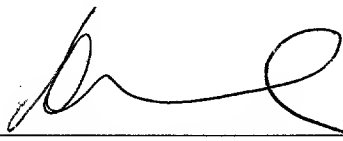
Respectfully submitted,

Anthony H. Handal  
Reg. No. 26,275  
Roger Pitt  
Reg. No. 46,996

Express Mail  
Express Mail Label No.  
EL695228636US

The undersigned hereby certifies that on Nov. 26, 2001, the attached correspondence was taken by me to the post office at South Norwalk, Connecticut and I attempted to deposit the correspondence with the U.S. Postal Service for delivery by Express Mail. I make the following further certifications. Verbally, the post office employee in charge at that time refused to accept the correspondence. I handed the attached correspondence to him and he held it. I refused to accept it back, and he informed me that he would return it to my office the next day.

In accordance with the guidance on the Patent and Trademark Office website, I am making this certification and I am mailing this correspondence by first-class mail, and such correspondence has been marked "Box Filing Date".



Anthony H. Handal

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on Nov 26, 2001

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December 13, 2001

**BOX FILING DATE**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: Woodward HOFFMAN and Sean TOGHER  
U.S. Patent Application No. 09/997,716 Filed: December 3, 2001  
"ACCOUNTING SYSTEM FOR THE DYNAMIC STATE OF THE  
PORTFOLIO REPORTING" Case: WH1-NP

SIR:

We enclose herewith:

- ☒ Request for Correction of Filing Date due to Postal Service Interruption;
- ☒ Copy of PTO Notification Related to U.S. Postal Service Interruption (from PTO Website);
- ☒ Acknowledgment Postcard

The Commissioner is hereby authorized to charge payment of the fees associated with this communication or credit any overpayment to Deposit Account No. 08-0570.

Applicant hereby petitions under 37 CFR 1.136 or other applicable rule to have the response period extended the number of months necessary to render the attached communication timely if a petition is required.

Respectfully submitted,

Anthony H. Handal  
Reg. No. 26,275  
Roger Pitt  
Reg. No. 46,996

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, postage prepaid, addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on December 13, 2001

Anthony H. Handal Reg. No. 26,275  
Roger Pitt Reg. No. 46,996

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Applicant: Woodward HOFFMAN  
And Sean TOGHER

Serial No.: 09/997,716

Filed: December 3, 2001

Entitled: "ACCOUNTING SYSTEM FOR  
THE DYNAMIC STATE OF THE  
PORTFOLIO REPORTING "

Attorney Docket No.:  
WH1-NP

GAU: Unknown

Examiner: Unknown

December 13, 2001

BOX FILING DATE

Assistant Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTION OF FILING DATE  
DUE TO POSTAL SERVICE INTERRUPTION UNDER 35 U.S.C. 21 (a)  
and 37 CFR 1.6 (e).**

S I R:

Applicant hereby requests the Office to correct the filing date of the above application from December 3, 2001, indicated on the postcard acknowledgment to **NOVEMBER 26, 2001**. The application was deposited with the United States Postal Service on November 26, 2001 with a first class mail certification and statement pursuant to the practice described in 1251 OG 55.

Due to the recent Postal emergency within the meaning of 35 U.S.C. 21 (a) and 37 CFR 1.6 (e), the original Express Mail package was refused processing at the S. Norwalk

*Receipt date  
granted is  
11/26/01.*

CT, 06854 Post Office on November 26, 2001 and subsequently returned to this office.

Promptly thereafter, papers for the present application were filed by first class mail, with a statement requesting a filing date of November 26, 2001, pursuant to, and signed in accordance with 37 CFR 10.18 (copy attached). Therefore, a filing date of November 26, 2001 is believed proper, and is respectfully requested.

Respectfully submitted,



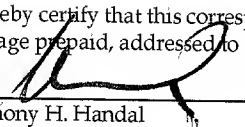
Anthony H. Handal

Reg. No. 26,275

Roger Pitt

Reg. No. 46,996

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, postage prepaid, addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on December 13, 2001



Anthony H. Handal

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